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ABSTRACT

This package is the twelfth of twelve in the Skills for Adult Guidance Educators (SAGE) system, which provides instruction in a set of necessary competencies specifically designed for adult education counselors, teachers, and paraprofessionals. The materials provide a process for developing and implementing counseling and guidance programs unique to different target populations, program settings, and local conditions. Contents include four modules that pertain to one role statement. The role statement describes the trainee objective to demonstrate awareness of adult education terminology and proposal-writing procedures. Each module contains some or all of the following information: topic, learning objective, rationale, preassessment, learning activities, postassessment, and appended materials (supplemental activities, tape transcripts, and articles). (YLB)

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ED192142

SKILLS FOR ADULT GUIDANCE EDUCATORS.

Package 12

Proposal Writing

Developed by

the

ADULT EDUCATION PROGRAM

of the

Northwest Regional Educational Laboratory
710 S. W. Second Avenue
Portland, Oregon 97204

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U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
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Introduction

The purpose of this package is to acquaint the trainee with adult education terminology and basic proposal writing procedures. The trainee should be able to complete the modules with a minimum of supervision.

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Role Statement 21.0

Demonstrate awareness of adult education terminology and proposal writing procedures

MODULE 21.1

TOPIC

Demonstrate knowledge of ABE terminology.

LEARNING OBJECTIVE

The trainee will be able to define verbally to his or her supervisor, and in writing, frequently used terms in Adult Basic Education.

RATIONALE

If you don't know what GED means, how can you help a student who wishes to take the tests? If you do not know what Adult High School Completion is, you might put a non-reader into a literature class.

Just as you can't tell the players without a scorecard, you cannot effectively place, guide, and counsel ABE students if you don't know what the terms of the program are.

PREASSESSMENT

The trainee will correctly define without aids three-fourths of the terms listed below.

1. Adult Basic Education
2. adult basic education
3. G.E.D.
4. Laubach
5. Right-to-Read
6. non-reader
7. functional illiterate
8. life career planning
9. Adult High School Completion
10. dropout
11. alternative education
12. work experience
13. life experience
14. E.S.L.
15. T.E.S.L.
16. Citizenship Preparation
17. communication skills
18. computational skills
19. social skills
20. units or credits or Carnegie units

LEARNING ACTIVITIES

Write definitions for the twenty terms listed in the preassessment, then add a minimum of five and a maximum of ten others and definitions of your own choice to this list. You will be responsible to your supervisor to defend both your choice of terms and the definitions for them. Be sure they are terms used in ABE.

POSTASSESSMENT

The trainee will show evidence of learning when he can perform the following tasks:

Define correctly to the supervisor, either in writing or orally, from memory, eighteen of the twenty terms listed in the preassessment.

Present to the supervisor an additional list of not less than ten nor more than twenty terms and definitions that are used in Adult Basic Education and can defend the choices he has made to the supervisor.

MODULE 21.2

TOPIC

Write behavioral objectives.

LEARNING OBJECTIVE

The trainee will be able to write Behavioral Objectives.

RATIONALE

Since the concept of "accountability" has become so vocally supported at all levels of education, efforts toward establishing creditibility of counseling services become very important. By learning to specify desired outcomes of counseling, counselor's efforts toward achieving those outcomes can be mobilized more easily. The task of identifying desired outcomes and translating those outcomes into stated objectives becomes crucial in developing a process that will result in creating visibility for the counseling services.

PREASSESSMENT

Directions: Rewrite the performance objectives below which are inadequately stated for purposes of measurement.

(1) At the completion of three or fewer counseling sessions each counselee will have made a tentative vocational choice as measured by his having committed himself in writing to a specific cluster area.

(2) As a result of taking part in a field trip to a factory, counselor-trainees will have an improved attitude toward manual labor.

(3) Counseled students will be more self-directed than uncounseled students.

(4) At the completion of ten group counseling sessions all students will have increased self-esteem as measured by the Barksdale Self-Esteem scale.

(5) After two or fewer counseling sessions each client will have increased decision-making skill.

LEARNING ACTIVITIES

Learning Activity One

Read: Developing and Writing Behavioral Objectives (see Appended Materials).

Learning Activity Two

Write three objectives that would be related to the following goal: Assisting students to develop fundamental skills. (Objective must include statements of task, conditions, and criteria.) Refer to appended materials.

Learning Activity Three

Return to the preassessment and complete those objectives that are inadequate.

POSTASSESSMENT

Write ten objectives that include the dimensions of task (what is being done), conditions (how the task will occur), and criteria (how the task will be measured). The objectives must relate to your work setting. From those ten, a minimum of two will be used at your setting and the result will be reported to the supervisor.

APPENDED MATERIALS

CHECKLIST

A behavioral objective should have the following components:

I. (a) A statement of a specific task (observable, measurable behavior).

(b) Who is doing the task. Example: The trainee (who) will be able to write (what) a behavioral objective.

II. A statement of conditions for arriving at competence or how is the task going to be accomplished?

Example: As a result of participating in a three-hour workshop.

III. A statement of criteria which provides a standard of competence against which desired outcomes (task) can be measured.

Example: Measure by accurately rewriting eight out of ten inadequately stated objectives including task, conditions, and criteria.

The completed objective would be as stated: The trainee will be able to write a behavioral objective, as a result of participating in a three hour workshop. Evidence will be determined when the trainee accurately rewrites eight out of ten inadequately stated objectives including task, conditions, and criteria.

MODULE 21.3

TOPIC

Write a research design.

LEARNING OBJECTIVE

The trainee will write a research design which tests his or her own effectiveness.

RATIONALE

The concept of "accountability" which has become so vocally supported at all levels of education suggests that educators will be expected to validate the effectiveness of what they do if their services are to be supported. If support of education services is desired, the counselor needs to find ways of causing their services to become more visible. One way of gaining visibility for services is to demonstrate the effectiveness of those services. Demonstration of effectiveness can be accomplished by writing and conducting a research design. A formal research design that pinpoints specific results as a consequence of education services will go a long way toward creating support of those services.

PREASSESSMENT

Submit for approval your own research proposal which has the following elements:

1. A clear problem statement
2. Unambiguous hypotheses
3. Operational definitions
4. Clearly stated research methodology

LEARNING ACTIVITIES

Learning Activity One

Read the following:

Isaac, Handbook in Research and Evaluation (pp. 2-27, 155-184).

Kerlinger, Foundations of Behavioral Research (Chapters 2, 15, 16, 17).

Van Dalen, Understanding Educational Research (Chapter 15, Appendices C and E).

Supplementary Reading:

Campbell, Experimental and Quasi-Experimental Designs for Research

Cramer, et al., Research and the School Counselor

Cronbach, Research for Tomorrow's Schools

Tyler, Educational Evaluation: New Roles, New Means

Learning Activity Two

Define the following terms:

(a) Problem statement
(b) Behavioral objective
(c) Operational definition of proposal
(d) Hypothesis
(e) Control group
(f) Experimental group
(g) Dependent variables
(h) Independent variables
(i) Randomization
(j) Pretest
(k) Posttest

Learning Activity Three

Assume you are a counselor in an urban community college. The student population is 22,000 with a very wide range of course offerings as well as a very diverse student body. There is a student-centered, cooperative atmosphere among the teaching and administrative staff; therefore, counseling services are highly valued and everyone cooperates in providing guidance services to students. You are concerned because of apparent lack of understanding between students and faculty members who have diverse cultural backgrounds. You would like to attempt some remediation of the problem and evaluate the effectiveness of your work. Describe your procedure as a formal research design including a clear problem statement, unambiguous hypotheses, operational definitions, and a clear description of your research methods.

Learning Activity Four

Incorporate the following design into your proposal in Three.

Given: [R] = Randomization

x = independent variable

y = dependent variable

b = Pretest

a = Posttest

$$[R]\begin{array}{ccc} y_b & x & y_a \\ \hline y_b & x & y_a \end{array}\begin{array}{l}\text{(experimental)}\\ \text{(control)}\end{array}$$

POSTASSESSMENT

Complete the preassessment.

MODULE 21.4

TOPIC

Write a sample proposal for funding.

LEARNING OBJECTIVE

Given a basic knowledge of the various components of proposal writing, the trainee will be able to identify those components and write a sample proposal for funding of an educational project in either Adult Basic Education guidance or Adult Basic Education Counseling.

RATIONALE

There are literally thousands of funding sources for projects of all kinds within the United States. Of course the United States Government is the largest funding source. Also, the majority of funding is provided for educational projects in areas where research and development will fill a need that is not being met. Innovative programs, demonstration projects, seminars, workshops, module development, all of these are areas where funding is available.

In order to tap this source of monies, however, there are certain forms and terminology that you must become familiar with and be able to use. If you, the trainee, have an idea which you think might advance or enhance the ABE student, the ABE Guidance Instructor or the ABE Guidance/Counselor, then you should learn to write proposals for funds.

Such areas as paraprofessional training, workshops in guidance procedures for the ABE Instructor, counseling techniques for the ABE Counselor, are just a few of the ideas that you might consider for a proposal.

But, if you want to write a proposal for funding, there are a few things you need to know. First, proposal writing is not difficult, but there is a definite way to write one, certain terminology to use, and a specific order for each of the steps. It is my hope that this module, brief though it is, will set you on the road to writing proposals for your ideas, and of course, to getting funds for you to implement those ideas.

PREASSESSMENT

The trainee must successfully define in writing, from memory, all of the following terms (100 percent accuracy) used in proposal writing. Trainee must write a sample proposal using these terms. The sample forms for writing a sample proposal are included in Appendix A.

1. problem
2. need
3. objectives
4. quantify
5. funding source
6. procedure
7. compromise level
8. target population
9. scope of project
10. time frame
11. relatedness
12. overt
13. covert
14. budget
15. operating expenses
16. personnel
17. evaluation
18. submission
19. renewal
20. dissemination

LEARNING ACTIVITIES

Write a sample proposal. You will find materials attached to this module that will guide you in doing so. See Appended Materials, Appendix A, for sample-proposal forms and Appendix B for instructions for writing a sample proposal. The subject for your proposal will be in the area of Guidance or Counseling or the ABE Student. You may use the terms listed in the preassessment as starting points for your proposal. The proposal is to be a sample. Your success in this module is not measured by whether you are funded for your proposal or not, but write a proposal that you can submit with the idea of being funded.

Optional Learning Activities

If you want further experience in writing proposals, then do any or all of these tasks.

Optional Learning Activity One

Read and work through the book Developing Skills in Proposal Writing by Mary Hall, from the Office of Federal Relations, Oregon State System of Higher Education, Continuing Education Publications, Extension Hall Annex, University Campus, Corvallis, Oregon 97331. The price is $10.00 per copy. The book was published in 1971 and is an excellent book on writing proposals.

Optional Learning Activity Two

Read and work through the book Proposal Writing by Jack Crawford and Cathy Kielsmeier, 1970. This book is $6.50 per copy and can be obtained from the same source as Developing Skills in Proposal Writing.

Optional Learning Activity Three

Obtain a completed United States Office of Education Proposal and go through it to find out the various components.

Optional Learning Activity Four

On your campus, or within your geographical area, become acquainted with a professional grant writer and submit your sample proposal to him for evaluation.

POSTASSESSMENT

Complete the preassessment.

APPENDED MATERIALS

APPENDIX A

FORMAT FOR WRITING SAMPLE PROPOSAL

Date_____

Application to:	Name and address of potential sponsor.
Project Title:	Be concise, descriptive, and as specific as possible. Avoid obscure technical terms. Include key words under which project should be indexed.
Submitted by:	Name and address of institution.
Initiated by:	Name and position of the individual who initiated the project, ordinarily the director or chief investigator.
Transmitted by:	Name and position of official representative of the institution listed under "Submitted by."

(The application should be signed by both the initiator and the transmitter on the original or master copy.)

Date Mailed:

Date_____

Application to:

Project Title:

Submitted by:

Initiated by:

Transmitted by:

Date Mailed:

I. Statement of the Problem and Need

The statement should be clear, yet brief, with definite conclusions drawn. The significance of the problem should be specifically indicated.

II. Objectives of the Project

In an orderly fashion, carefully delineate the project goals.

III. Procedure of the Project

1. Particular attention should be given to this section of the application because it provides the primary basis for evaluating the proposal. Describe the procedure in detail listing the steps to be followed. Where pertinent, be sure to include specific information on each of the following:

a. Populations, samples, experimental and control groups, if any. Indicate their origin, composition, purpose, use, numbers involved, types of data to be collected on each, sampling plans, etc.

b. Experimental design, methods, etc.

c. Data-types to be gathered and methods to be used. Describe questionnaires, interview guides, tests and inventories. Give details on unpublished research instruments

d. Analyses—methods of statistical and other analyses to test the hypotheses or answer the objectives

e. Approximate time schedule for various aspects or phases of the project

f. Expected end-product (including a final report)

2. Personnel

Give the name, title, and a brief statement of the pertinent experience of the principal investigator and of other key personnel if possible.

IV. Evaluation

Describe the process and product of evaluation—relate to objectives.

V. Budget

If for more than one year, indicate separate years in separate columns, i.e.:

First Year	Second Year	Third Year

Personnel Services: $_____

List all position titles such as director, assistants, secretary, consultants, etc. Give per annum salaries including retirement, Social Security, anticipated salary changes. Give percent of time on project.

Operating Expenses: $_____

Itemize: Materials
Statistical Services
Duplicating Services
Office Supplies (including telephone, postage, etc.)

Equipment: $_____

Other: $_____

List essential travel and other items not covered.

Indirect Allowance: $_____

Applicant's normal rate unless otherwise specified in sponsor's instructions.

Total $_____

VI. Other Information

Indicate the amount of support available for this project from other sources and whether the proposal has been submitted to any other agency or organization. If the proposal is an extension or addition to a previous project, this should also be stated.

Final Approval Sheet

Date:_____

I. Project Description

a. Title:_____

b. Director or Principal Investigator:_____

c. Supporting Agency or Foundation:_____

d. Total Budget: $_____

e. Dates of Grant: Begin_____ End_____

f. Closing Date for Application:_____

g. Number of Copies to Bear Signature:_____

II. Project Approval

Department Chairman:_____

Division Director:_____

Director of Grant Development:_____

President or Designee:_____
(if non-budgeted or matching funds are required)

Academic Vice President:_____

Financial Vice President:_____

Each of the above offices should receive copies of the proposal as submitted and must be notified of its approval or rejection.

Proposal Checklist

Responsibility of chief investigator

Circle appropriate data:

1.	Have all potential sponsors been considered?	Yes	No	Comment
2.	Budgetary considerations:			
	a. Has it been cleared with the appropriate office or offices?	Yes	No	Comment
	b. If necessary, has provision been made for retirement, Social Security, anticipated salary changes?	Yes	No	Comment
	c. If reimbursed time is involved, has it been cleared by the appropriate office or offices?	Yes	No	Comment
	d. Have all uses of institutionally owned equipment, such as computer time, been budgeted?	Yes	No	Comment
	e. Has provision been made for indirect allowance?	Yes	No	Comment
3.	Have a sufficient number of copies of the proposal been prepared?	Yes	No	Comment
4.	Are all required signatures on the finished copies?	Yes	No	Comment
5.	Does your proposal give a realistic presentation of your needs?	Yes	No	Comment
6.	Does the completed application fulfill the requirements and/or specifications established and required by the potential sponsor?	Yes	No	Comment

Date_____

Signature_____

APPENDIX B

WHEN WRITING PROPOSALS . . .

In promulgating your esoteric cogitations
and in articulating your superficial sentimentalities
and amiable philosophical and psychological observations,
beware of platitudinous ponderosity.

Let your conversational communications possess
a clarified conciseness, a compacted comprehensibleness,
a coalescent consistency and a concatenated cogency.

Eschew all conglomeration of flatutlent garrulity,
jejune babblement and assinine affectation.

Let your extemporaneous descantings and unpremeditated
expiations have intelligibility and veracious vivacity,
without rhodomontade or thrasonical bombast.

Sedulously avoid all polysyllabic profundity, pompous prolifity,
psittacosis verbosity and vaniloquent vapidity.

Shun double entendre, prurient jocosity and pestiferous profanity.

And above all, DON'T USE BIG WORDS!

NOTES ON PROPOSAL WRITING

I. Common elements in proposal writing.

   a. Should have a system of information. All parties concerned should have a working knowledge of the proposal so when funding source asks questions, no one need be embarrassed.

   b. Do your politics—within the institutions and between institution and funding source.

   c. Write proposal in clear, concise language. Objectives should be in measureable terms.

   d. Recognize limits of institution.

   e. Develop a clear and concise plan for accomplishing objectives.

   f. After proposal is complete and has been submitted, be prepared to negotiate.

II. Problem identification

a. Theoretical level

b. Reality

c. Compromise level

Socio-Political Environment

(1) Does it lie within the institutional goals?
(2) Who supports it?

Economic Environment

(1) $ consideration
(2) Time consideration

(Most proposals require a matching value)

d. Describe problem in a straight-forward approach

e. Create sense of urgency

f. Identify specific needs

g. Avoid ambiguous terms and wording. Clarify in operational terms

h. Introduce approach, a preview of what you are proposing. Must demonstrate in problem statement that proposer has insight and knowledge in area to deliver product

III. Objectives

a. Adequacy

(1) Scope (Realistic)
(2) Relatedness (Relate directly to those areas of need)

b. Position

(1) Flow
(2) Outline

c. Types

(1) Covert - avoid self-serving objectives
(2) Overt - primarily what we are concerned with

General - goal statements
Specific - measureable objectives

d. Style/Statement

(1) General - to understand, to appreciate
(2) Specific - to develop, to identify, to construct, to compare

e. Verb usage - very important

IV. Procedures

a. Flow charting

b. Time frame - sequence of events

c. External "politic" process

d. Steps of procedure

(1) Introduction (What are you going to do?)
(2) Sample (target population)
(3) Design
(4) Product (What will end product be?)
(5) Evaluation
(6) Contribution

V. Evaluation

Eval. Obj.	Proj. Act.	Eval. Act.	Persons Responsible	Time Line

A DIGEST OF THE ELEMENTS OF
PROPOSAL WRITING

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OF ECONOMIC OPPORTUNITY

Compiled by Lon F. Backman

Basic outline for development of a written proposal:

(Note that this is an outline and follows generally what is needed in a proposal. Specific guidelines are provided by many funding sources and when available should be followed meticulously.)

PROBLEM

General description. Identify needs specifically. Make a general summary statement of the approach your project will take.

OBJECTIVES

State your objectives concisely. These must be quantifiable (measureable). Don't have too many objectives. Be sure your objectives are measureable and doable—don't say you are going to accomplish the impossible.

Be careful to separate objectives from procedures or how you are going to reach the objectives statements. Don't use jargon with which only you and your fellow workers are familiar. Write for a complete stranger to your program.

When writing a proposal for a specific funding agency, be sure your objectives match the philosophy and program of the funding source. This may require a preliminary interview with an official of the funding agency. It most certainly will require that you research the funding agency sufficiently to know what its philosophy is.

Whenever possible incorporate language in your proposal which includes words used by the funding agency in its literature and words used by the representative of the funding agency.

PROCEDURES

Be specific. Answer these questions:

(1) What are you going to do?

(2) Who or what is involved?

(3) How are you going to do it?

(4) What will the end product be? (What will be the outcome?)

(5) What will be your time schedule for each activity?

(6) How will you analyze the results?

EVALUATION

Following through on six (6) above, expand on your procedures or evaluation by answering these questions:

(1) Who will evaluate?

(2) What will be the time line for evaluation activities?

(3) Precisely how will the evaluation proceed?

(4) How will data generated in your evaluation be handled and stored?

(5) How will participant and community feedback for future decision making be provided?

(6) What factors will determine whether your project can be replicated (done again) in another community?

Evaluation should be divided into three basic components:

(1) Institutional inventory—data collected from the ongoing project to assist in making decisions about future directions.

(2) Operational evaluation—how well is the project working while it is underway, and how do you determine during the ongoing project whether to continue it, change directions, or terminate.

(3) Final evaluation—How do you determine whether the objectives were reached, whether the project was worth the money investment, and whether to go ahead with further activities or terminate the whole project.

Specify to whom the various evaluation materials will be disseminated and why.

BUDGET

Preparing a budget is not difficult, but most proposal writers may want to confer with a finance officer of an agency doing similar activities to those being proposed before finalization of the budget request. This section should contain the following basic information:

(1) An organizational chart

(2) Specific staff requirements

(3) Job descriptions

(4) If the personnel are known, names and one-page resumés for each employee

(5) Salaries and fringe benefits, as separate items

(6) Equipment needed to reach the objectives

(7) Consumable supplies needed to reach the objectives

(8) Travel requirements to reach objectives. Be specific. How many miles are estimated? What type of transportation is required (air, rental car, private vehicles, charter bus, etc.)? How many persons will be traveling?

(9) Miscellaneous expenses

(10) Sources and amounts of funds. List all funding sources and in-kind contributions on a money value basis

Caution: Do not overbudget on the premise that if you ask for more than you need you may come closer to what you actually need. Ask for what you need. Ask for as much as you actually need - and no more. Funding sources quickly reject a padded budget.

This is a basic outline for a proposal. The following pages contain suggestions for consideration when assembling a grant package. Some of the suggestions may not be appropriate for the specific proposal you are writing. Obviously, the proposal writer will adjust his writing to the immediate project requirements.

The last few pages of this packet contain come instruments for evaluating your own proposal before submitting it to a funding source. Use them. They will greatly enhance the probability of your being funded.

Some points to remember:

(1) Be sure the various sections of your proposal relate to one another

(2) Be sure the problem you have stated is the same problem you are addressing in your objectives

(3) Be sure your activities show precisely the steps by which you will reach your objectives

(4) Write your proposal in concise language that says precisely what you have in mind. Don't assume that the reviewer will understand anything that you have not written down.
GOOD LUCK!

STYLE AND FORM

First impressions are very critical. None is more so than that first impression your proposal gives to the reader when submitted to an agency or foundation for consideration. Many proposals are lost at the first look by the reader. He appraises the proposal immediately in terms of:

(1) General appearance

(2) Neatness

(3) Specific appearance of:

a. charts
b. maps
c. graphs
d. list of figures
e. table of contents
f. title page

(4) Consistency of Style

(5) Title—is it grandiose or does it properly describe the project?

(6) Completeness

(7) Professionalism

Therefore, you cannot afford to skimp on the time you spend in "polishing" your proposal. Each item must be checked and re-checked.

Since you have spent many hours developing the proposal idea, and further hours researching and writing before your first draft, why risk your investment over poor typing, proofing, graphics, etc. Some of the most important time spent working on the proposal will be that spent on the final draft.

If you are not an artist it might be adviseable to employ one to prepare the cover, charts, graphs, etc. The cost is minimal when you consider the potential return.

Be sure that you and your typist are familiar with an appropriate typing style. Learn it well and be sure to follow it consistently. There are many style and form manuals available for use. Select one which best fits your needs and adopt it for all of your proposals.

Don't accept or be satisfied with sloppy typing or art work. Make sure that it is re-worked until satisfactory. You want all of the final copy to be neat and clean prior to submission.

FORMAT OF THE PROPOSAL

The mechanical format of the proposal includes three categories of materials: the preliminaries, the text of the proposal, and the reference materials. The various components occur in the following order, although not every proposal includes all the items listed:

I. The Preliminaries
- Title Page
- Table of Contents
- List of Tables (if any)
- List of Figures or Illustrations (if any)

II. The Text of the Proposal
- Introduction—includes the following components:
  - Statement of the Problem
  - Identification of Need
  - Justification
  - Related Research
- Objectives
- Procedures
  - Work Plan
  - Sequence of Activities
- Evaluation
- The Reference Materials

III. Appendices
- Agency Forms
  - Project Abstract
  - Budget
  - Budget Justification
  - Personnel
- Table of Figures (if any)

PAGINATION OF PROPOSAL

Every page in a proposal is assigned a number, although not every page has its page number typed on it. There are two separate series of page numbers. The first, in small Roman numerals, begins with the title page and ends with the last page preceding Chapter I; the second series, in Arabic numerals, begins with the first page of Chapter I and continues throughout the proposal.

The initial page of any major subdivision of the proposal—such as the title page, the first page of the table of contents, and the first page of a chapter—will have no page numeral placed on it, but a number will be allowed in the series for that page. For example, if the last page of Chapter I is nineteen, the first page of Chapter II is twenty, but the page numeral does not appear on it; the second page of Chapter II is twenty-one and is so numbered.

The page numbers, whether Arabic or small Roman, are conventionally placed four double spaces from the top of the paper, aligned with the right hand margin.

Title Page: The first page of a proposal is the title page. Although the writer may insert a blank sheet of paper between this page and the cover, the first typed page is counted as the first page of the proposal.

The form of the title page will include the title of the proposal, the designation of the submitting agency, the title of the legislation under which the proposal is submitted, and the month and year of submission.

The title should be brief but accurate and comprehensive. It should be phrased as to accurately limit the subject under discussion. A good rule is to try to include in the title all words or phrases under which, in an index, a person would search for information about the selected subject. Effective titles are usually composed of three or four words of groups of words. As far as possible, the meaning should be clear at the first reading. You should avoid awkward combinations of words.

TABLE OF CONTENTS

The Table of Contents is the next separate section following the title page. The Table of Contents lists the chapter (or section) headings into which the proposal is divided, and the main headings and subdivisions in each, with page citations. It provides the reader with an analytical overview of the material covered in the proposal, together with the order of presentation.

The relationship between the main divisions and subdivisions is shown by the appropriate use of indentation and capitalization. All headings in the Table of Contents should correspond exactly in wording with the headings as they appear in the text.

The main headings of the Table of Contents, which in proposals are the chapter or section titles, are written in full capitals, with no terminal punctuation, and are consecutively numbered in Roman caps. If a heading requires more than one line, the second and following lines are indented two spaces in from the first letter of the initial line and are double-spaced.

Subheadings and subdivisions are indented two spaces from the initial letter of the first line of the preceding heading. Only the first letters of the first word and of proper nouns are in caps.

All lines, including underhanging lines, are double-spaced. Leaders guide the eye to the page numbers which are aligned at the right.

LIST OF TABLES

After the Table of Contents, the next separate section, typed on a page, or pages, by itself, is the list of tables. This is made up of captions of any comparative tables of figures needed by the writer to substantiate various points of the proposal.

For each table, the number of the table, its exact caption or title, and the number of the text page on which it appears are given. The initial letters of important words in the titles are capitalized.

The tables are numbered consecutively with capital Roman numerals.

No terminal punctuation is used for the heading, LIST OF TABLES, or after any title listed therein.

LIST OF FIGURES OR ILLUSTRATIONS

If any illustrations or graphs are used, the list of these constitutes the next consecutive separate section, and in it the practices listed above are used, except that Figures are numbered with Arabic, rather than Roman, numbers.

THE TEXT OF THE PROPOSAL

The proposal begins with the first page of Chapter I and follows the preliminaries detailed above. The organization and distribution of content should be such that each chapter represents an important division of the subject of the proposal.

Each chapter or section must begin on a new page.

On the fifth double-space below the top edge of the paper and centered on the typed matter, the chapter number, in full capitals with Roman numerals—for example, CHAPTER III—is placed. You may choose to place the chapter number and title flush with the left-hand margin, five double-spaces from the top of the paper.

The first line of the text begins three single spaces below the chapter title. Chapters may be divided into sections. If only one level of subdivision is necessary, either the centered head or the paragraph sidehead may be used; if two levels, both the centered head and the paragraph sidehead may be used. If a more elaborate system of subdivision is needed, three levels are provided by use of the centered head (first level), free-standing sidehead (second level), and paragraph sidehead (third level), as follows:

I. CENTERED HEAD

Free-standing Sidehead

Paragraph Sidehead

The writer should be careful, however, to use subheadings only when they contribute in a functional way to the text of the proposal.

APPENDIX

If an appendix is needed, it follows the text and is preceded by a division sheet marked APPENDIX.

PROPOSAL REVIEW FORM

The following is a checklist prepared for the writer to self-evaluate his proposal prior to submission. If the proposal does not meet these basic requirements further development should be considered before it is forwarded to an agency or foundation.

A. General

1. Does the project fit within the grantor's guidelines? YES NO
2. Have the evaluation procedures been considered? YES NO
3. Does the proposal have continuity between sections? YES NO
4. Does the proposal reflect the grantee's ability? YES NO
5. Is the proposal specific and detailed enough? YES NO
6. Are you resubmitting this proposal? YES NO
7. Does the program fit the project? YES NO
8. Is the style and form of the proposal well presented? YES NO
9. Can a hasty reading be carried out easily? YES NO

B. Statement of the Problem

1. Is the statement convincing to the reviewer? YES NO
2. Is the problem a general one outside the local area? YES NO
3. Is the problem clearly defined? YES NO
4. Have you effectively balanced the statement between the complete and brief? YES NO
5. Is the purpose of the project easily determined? YES NO
6. Have you identified the approach to be used? YES NO

C. Related Research

1. Have you reviewed recent data? YES NO
2. Have you reviewed those items which bear on the problem most directly? YES NO
3. Does your proposal indicate the relationship of the project to poverty problems? YES NO
4. Have you reviewed on-going related activities? YES NO
5. Is there a citizen involvement base for the project and has its relationship been indicated? YES NO

D. Objectives

1. Is there continuity between the statement of the problem and the goals and milestones? YES NO

2. Are the objectives clearly stated? YES NO

3. Are they listed in order of importance or potential contribution? YES NO

4. Are the objectives specific, clean-cut, achievable? YES NO

5. Are they consistent with the procedures sections? YES NO

6. Are they testable? YES NO

7. Have you separated out any value judgments? YES NO

E. Procedure

1. Is this section designed to fit the project? YES NO

2. Have you identified the specific activities? YES NO

3. Have you indicated the population to be worked with? YES NO

4. Does the project design fit the project? YES NO

5. Are variables identified and considered in the project? YES NO

6. Have you identified your method of evaluation? YES NO

7. Are copies of tests, instruments, questionnaires included? YES NO

8. Have you defined your operational method? YES NO

9. Is the sequence of steps in the project clear? YES NO

10. Are the starting dates realistic? YES NO

11. Have you included flow charts indicating time and work relationships? YES NO

12. Have you allowed sufficient time for data collection? YES NO

13. Have you allowed time for the final report? YES NO

14. Have you considered the phases of the project beyond year one? YES NO

15. Have you indicated the efforts for dissemination of information collected? YES NO

16. Have you identified possible by-products? YES NO

17. Will the sponsoring agency take over at the end of the project? YES NO

18. Are special characteristics of the final report indicated? YES NO

F. Personnel

1. Has experience been listed? YES NO
2. Have you listed persons without their permission? YES NO
3. Have you included a listing of all personnel to be involved? YES NO
4. Have you included personal resumes of top personnel? YES NO

G. Facilities

1. Are special facilities listed? YES NO
2. Have you provided evidence of cooperation of schools, agencies, etc., to be involved? YES NO

H. Budget

1. Have you provided a justification for each budget item? YES NO

The following evaluation sheet is valuable primarily as a means of ranking the quality of the paper work you have done. It is a good tool for that purpose, but should not be considered as a means of evaluating the proposal itself.

The major criteria by which a proposal can be evaluated are:

1. Its relativity to the incidence and magnitude of poverty in the community where the project is proposed

2. Its relationship to the people in the community, i.e., have the low income and disadvantaged been involved in the development of the proposal and are they likely to participate in the project if it is funded?

3. The extent to which the resources of the community will be involved in the implementation of the project and the amount of prior commitment of those resources

4. Is the proposal realistic in terms of the ability of those submitting it to reach the stated objectives?

5. Is the cost of implementation realistic in terms of the end product or objectives? In other words, is it worth the investment?

6. Do the activities outlined reach the stated objectives, and do the objectives relate to the stated problem?

7. Is the program new and/or innovative, or is it merely an expansion on something already being done by other agencies?

8. If the project is implemented will it have applicability in other communities?

MODEL INDIVIDUAL EVALUATION SHEET

Date_____

Title (if applicable):

Principal Reviewer:

Name of Institution:

Reviewer: (Initial)

1. Significance (Clarity and consistency in delineating: importance of problem or need, attainable objectives, possibilities for new contributions, generalizability and impact beyond the local setting)

RATING (number one is the highest score)

1 2 3 4 5

(Comments)

2. Program Description (Completeness and precision in detailing such facets as: compatibility with stated objectives, overall design or organization, knowledge of related work or implementation of newest findings, realistic time schedules)

RATING

1 2 3 4 5

(Comments)

3. Personnel and Facilities (Are the qualifications of the staff and the availability of resources sufficient to fulfill, and directly related to, the stated purposes of the program or project?)

RATING

1 2 3 4 5

(Comments)

4. Economic Efficiency and Feasibility (Is the relative cost proportional with the results that are expected?)

RATING

1 2 3 4 5

(Comments)

OVERALL INDIVIDUAL EVALUATION

(Comments)

_____

Approval

_____

Disapproval

OVERALL

RATING

1 2 3 4 5

(Sample form in which staff members can elicit ideas.)

CITY OF TACOMA

CDA Short Form Proposal

Program Title_____

CDA Coordinator/Consultant_____

Program Area_____ Program Account_____

Description of Problem:

Target population of concern_____

Conditions that facilitate the problem_____

_____

Specific needs of the population:

1._____

2._____

3._____

4._____

Summary statement of the problem_____

_____

_____

Goals and Objectives:

1._____

2._____

Specifically, the objectives of this program are:

1._____

2._____

3. _____

4. _____

If approved, this program will assist the target population in or to _____

_____

The beneficiaries of this program are _____

_____

Procedures and Timetable:

To achieve the stated objectives, the program staff will implement the following procedures:

Objectives	Procedures
1._____	a._____
	b._____
_____	c._____
2._____	a._____
	b._____
_____	c._____
3._____	a._____
	b._____
_____	c._____
4._____	a._____
	b._____
_____	c._____

The program staff will follow the following timetable in the implementation of stated procedures:

Timetable (Day/Week/Month)

_____through_____#1 (a)_____
_____through_____#1 (b)_____
_____through_____#1 (c)_____
_____through_____#2 (a)_____
_____through_____#2 (b)_____
_____through_____#2 (c)_____
_____through_____#3 (a)_____
_____through_____#3 (b)_____
_____through_____#3 (c)_____
_____through_____#4 (a)_____
_____through_____#4 (b)_____
_____through_____#4 (c)_____

The following personnel will implement this program:

Director/Coordinator_____
Program Operations_____
Clerical_____ _____
Evaluators_____

Evaluation and Resources:

To evaluate the effectiveness of the program in achieving its stated objectives, the program staff will:

Objectives	Evaluation Technique
1._____	1._____
_____	_____
2._____	2._____
_____	_____
3._____	3._____
_____	_____
4._____	4._____
_____	_____

These evaluation steps will occur: (Day/Week/Month)

1._____through_____

2._____through_____

3._____through_____

4._____through_____

A final report will be prepared by_____ and will be disseminated to_____by_____.

The program staff will need the following persons/facilities to implement the program:

1._____(Cost/No cost)

2._____(Cost/No cost)

3._____(Cost/No cost)

4._____(Cost/No cost)

5._____(Cost/No cost)

6._____(Cost/No cost)

Budget Description (% time, Other categories, In-kind, etc.):

Line Item

1. Personnel
   a.
   b.
   c.

   Total Personnel _____
   Fringe benefits @ _____% _____

   Total _____

2. Consultants
   a.
   b.

   Total Consultants _____
   Fringe (If applicable) _____

   Total _____

3. Travel and Per Diem

   a. Air travel

      Number of trips to _____ @ _____ trip
      Number of trips to _____ @ _____ trip

   b. Auto travel

      _____ miles to_____ @ _____ per mile
      _____ miles to_____ @ _____ per mile

   c. Per Diem

      No. of days @_____ per day
      No. of days @_____ per day

   Total Travel and Per Diem _____

4. Space Costs and Rental:

   (1) per x = $
   (2) per x = $
   (3) per x = $

   Total Space Costs and Rentals _____

5. Consumable Supplies

(Identify supplies)

Total Consumable Supplies _____

6. Office Equipment

_____ desks @ =
_____ chairs @ =
_____ files @ =
_____ bookcases @ =
_____ dictaphones @ =
_____ side chairs @ =
_____ wastebaskets @ =

Total Office Equipment _____

7. Other Costs

(1)_____
(2)_____
(3)_____
(4)_____

Total Other Costs _____

8. Indirect Costs @ _____%
(If applicable)

Total Indirect Costs _____

9. TOTAL COSTS _____

APPENDIX C

ROLE OF A PROPOSAL*

A proposal, like a budget, has many different roles. Some functions of a proposal are as follows:

(a) A planning document for the project

(b) A formal proposal for funding

(c) A negotiation document between the local district and the funder

(d) A legal document

(e) An operational document

(f) An accountability document

(g) And finally a planning document for future proposals

A proposal is the foundation for practically everything that occurs in a project:

(a) Conceptualization

(b) Decision to continue

(c) Fund allocation

(d) Project and management operation

(e) Evaluation

(f) Contractual relationship

A proposal is basically a guide for action for the project director, the district administration, the State Department (or whoever funds), the teachers, the evaluator, and if called for, the auditors. Perhaps more important it shows the desired outcomes in performance terms for the students that are to be involved in the project.

It would appear a fundamental rule of thumb is that whoever is involved in the project should be involved in the development of a proposal. The number of people involved should be realistic in terms of time and potential budget consideration of a particular proposal. It would seem crucial that the teaching staff of any proposed project should consent and agree that the problems to be solved, the objectives to be met, and the activities or procedures are realistic and capable of being achieved by the project.

*Developed by Dr. Ronald Harper, Division Director, Career Education Division, Northwest Regional Educational Laboratory

And, finally, a proposal provides rationale advocacy for your funding.

ELEMENTS OF A PROPOSAL

The basic elements of a "good" proposal are:

Statement of the Problem: An introduction which includes the following kinds of information:

(a) Who are the target groups and the effects of the problem on them?

(b) Why the problems listed in the proposal are not presently being met in the school or district?

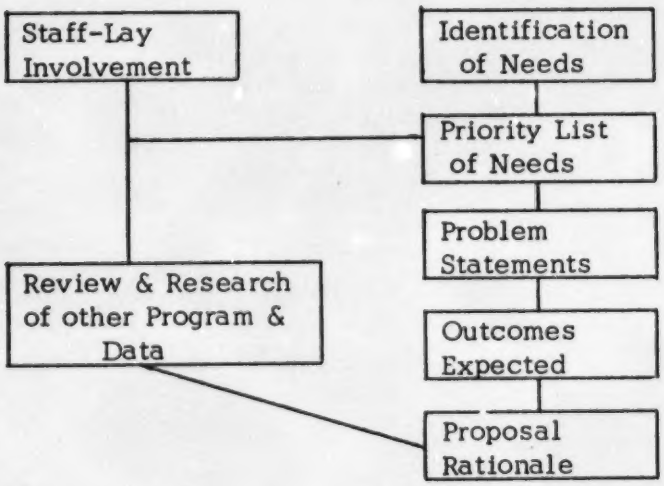
(c) What plan is to be followed in incorporating the proposal-project within the system after outside funding is withdrawn?

(d) What professional and lay groups are to be involved in developing the project and to what extent?

(e) A brief review of other projects that bear upon the problems listed, if any?

(f) And, probably most important in general terms, what are the outcomes anticipated upon completion of the project?

A typical flow chart for developing the problem statement follows:

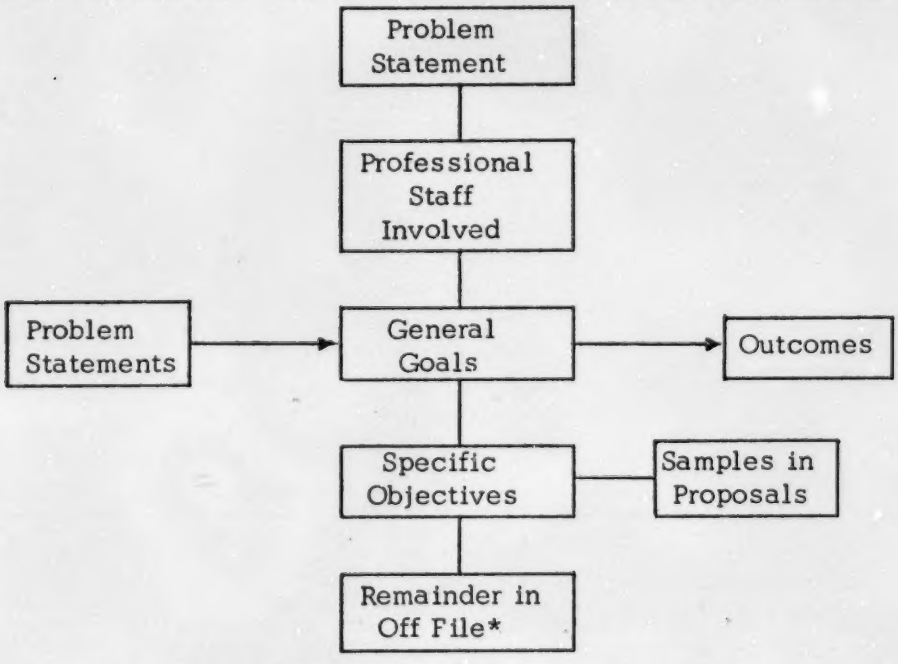


From the needs, the problem statement, the review of the narrowed field, and finally the expected outcomes, a rationale for the proposed project is developed.

Performance Objectives: The second element of the proposal is the development of objectives. (See third section for specifics on writing objectives.) The objectives should be guided by the needs listed and should provide a basis for bridging the gap between the problem statements and the expected outcomes and provide a method of evaluating the results of the project in achievement or performance terms. The objectives should "suggest" alternative activities or procedures that can be implemented to achieve the objectives.

The proposal should contain from one to ten "group" goals. That is the total movement of a group of learners within the proposed project. More specific enabling or instructional objectives are also needed. It is our recommendation that only samples of these types of objectives be included in the proposal with the remainder in an off file for future use by the project staff, evaluators, and auditors.

The development of objectives probably should fall within the realm of the professional staff. If possible, all potential project staff members should be involved in the development of the objectives. Commitment of the staff to the developed objectives would seem essential in future project operations. The flow chart for development of objectives follows:



*Note: May be required to be included in the proposal in certain guidelines.

Procedures (Activities): The next step in a "good" proposal is the generation of a set of procedures that will implement the achievement of the objectives. These activities should flow directly from the objectives. Normally one goes through this by generating alternative procedures and then selecting one with the highest probability of success considering constraints. Most proposal reviewers prefer to see the alternative procedures considered and your reasons for selecting a particular procedure.

The types of concerns are as follows:

(a) Learning activities for the targeted groups

(b) Staff competencies to be developed: preservice and inservice

(c) Logistical problems and how they are to be solved

(d) Consultants, if needed: identification methods and what their contributions are to be

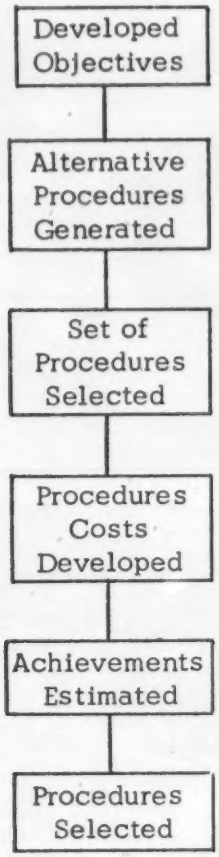
(e) Finalize the procedures by showing how the project will either solve problems listed in the problem statement or will show how the categorical project will be incorporated into the regular school program upon termination of the project. (This should have been mentioned in the problem statement but needs to become procedural in this section.)

(f) These types of concerns are only suggestions not exhaustives.

The procedures should be developed logically and systematically so that they can be flow charted in a later element. The procedures section is probably the key element in a proposal. It is here that the reviewer of a proposal looks for coherence between rationale, problems, objectives, and outcomes. A note of caution: Sophisticated proposal writing and development will not be of much help if, in fact, the problems to be solved are not germane, or considered to be "real" problems.

If mandated or desired, activity costs can be added in this element and later summarized in the required budget in a later element. It is helpful to all concerned with a project if procedure (or program) costs are assigned to activities. The activity costs can be incorporated into the evaluation design. It can also be a helpful tool in deciding between alternative procedures provided the estimated achievement of objectives is considered.

The flow chart for development of procedure follows:



(Some of these boxes can be by-passed if desired.)

Evaluation Design: Evaluation is usually considered to have four components. These are:

(a) Antecedent (input) - the state of the recipients of the project at the time of entry

(b) Transaction (implementation process) - what actually occurred in the program to the recipients

(c) Outcomes (product) - the state of the recipients at any given interim period of time in progress and upon completion of the transaction

(d) Outcome Differential - the difference between the outcome and the antecedent

The validity of the evaluation rests directly upon the establishment of effective objectives and upon the establishment of effective measurements and subjective ratings to evaluate the attainment of the objectives. This is a fairly simplified view of the world of evaluation but in essence it is what occurs. Please note that we attempt to provide for both subjective and objective evaluation.

Evaluation should show how closely the objectives have or have not been attained. Data must be collected, however gross it may be. The type of data you plan to collect will or should be explicit in your objectives. Every objective should be paralleled by description of the measures that will be taken to indicate that the objective is being achieved.

It may be possible to find standardized measurements to evaluate a project but more likely the measurements will have to be developed by the project evaluator. The evaluation design should clearly show:

(a) Methods of evaluation

(b) Times and uses of the evaluation

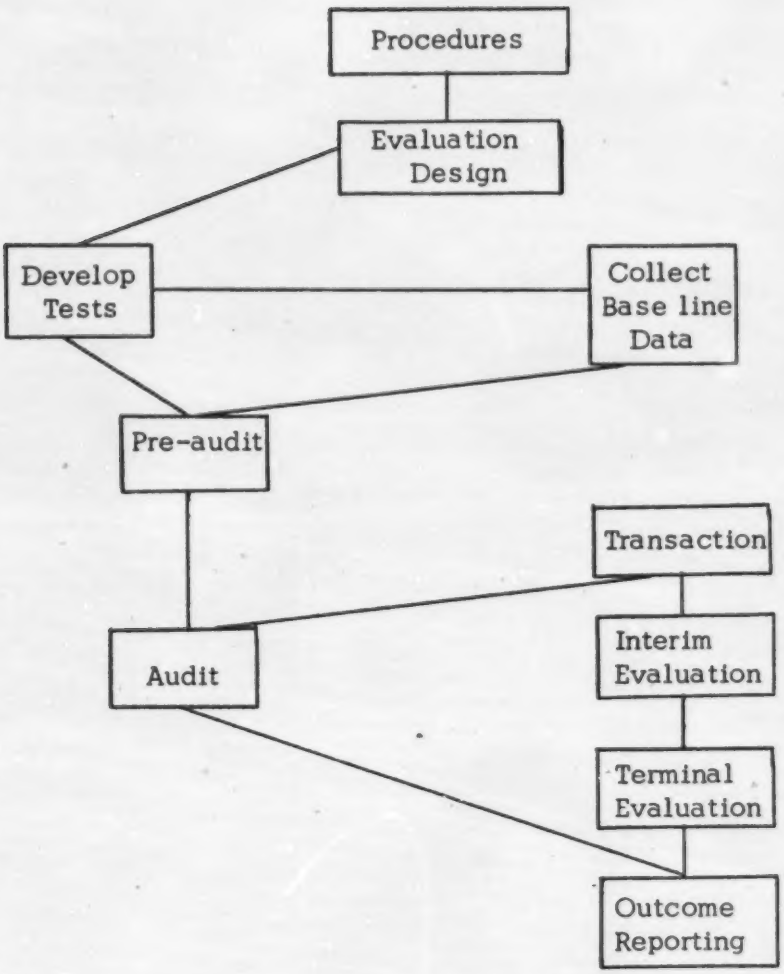
(c) Auditing procedures if desired or mandated

(d) Objective-subjective data

(e) Sampling techniques if the project has a large number of recipients

(f) An estimation of the out-put differential expected will be helpful to the reviewer

(g) A cost-effectiveness ratio can be developed if desired.



Types of Evaluation

Context: The context relates to the problem statement and it may be at least two levels; the whole organization and spots or pieces within it. The objectives are a result of it.

Implementation: Implementation relates to activities and procedures. It is a means of checking to see if the plan is followed.

Process: Process relates to activities and objectives. It is a means of checking progress toward outcomes with an eye to changes "enroute." Objectives are used here. (Combination of Context and Implementation is formative evaluation.)

Outcome: The outcome relates directly to objectives. It measures how close you have come to getting where you said you were going. (This means you have to have an "end.") (Outcome is summative evaluation.)

Note 1: All of these need to be considered in the development of a plan, which is what a proposal ought to be.

Note 2: In a developmental project, it is often necessary to revise your objectives and activities during operation. This is fair if it is done as a result of information that says things are not working.

Auditing: This article on auditing is not particularly germane to the development of a proposal but it is included because it was in the format of the workshop. If the guidelines for a proposal call for auditing, you should delineate in the procedures and include in the budget the auditing costs of the proposal.

The general notion of educational accountability has gained increased relevancy in recent years. Most teachers and administrators now readily agree that some method of determining the success or failure of their programs is necessary, and that it is the responsibility of the educational system to utilize the results of evaluation for improving effectiveness of the system's functioning. Evaluation carried out within the system has obvious limitations, and it was to overcome them that educational auditing was developed. Problems of perspective, inadvertent bias, possible inconsistency, etc., could be largely eliminated by the introduction of an outside analysis of the evaluation process. Educational auditing was, therefore, conceived and developed as roughly analogous to fiscal auditing, and it functions as an external, quality-control agent. The earliest officially defined auditing program was that developed for ESEA Title VII and VIII programs.

When the concept of educational program auditing is examined more specifically, it is clear that there are four alternative ways in which it can function:

(a) Auditing can double-check evaluation procedures by duplicating them

(b) Auditing can operate a different evaluation system, then compare and contrast its results with those of the educational institution's evaluation

(c) Auditing can be focused on the evaluation system as a system

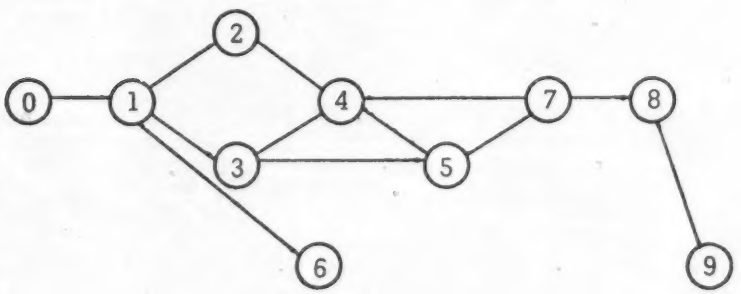
(d) Auditing can combine any or all of the above functions

Although the procedure is still under development, in practice it has generally been carried out as a validation of the evaluation, which analyzes the consistency and accuracy of the evaluation design. In the process of validating the evaluation, expected and actual outcomes of the program under discussion are compared.

It should be borne in mind that, despite the value of auditing, it must be carefully handled. Clearly, the whole concept of such quality-control measures can be threatening to the established educational system. Also, skepticism exists regarding the accuracy of auditing measurement techniques, the attainment of proper management skills by the auditors, and the exact roles to be played by the auditors.

Management Design: One of the most important management considerations in proposal preparation is the development of a network based flow diagram for management of the project that embraces all the procedures to be followed in operating the proposal. The flow chart is basically developed from the procedures and evaluation design. A proposal writer develops the flow chart by analyzing the contents of the procedures and evaluation design. If the preceding elements are logically developed, the flow chart is a relatively simple procedure but can be made sophisticated with a bit of practice. The first step is developing the activities that must occur in the project. Here is an example of a mythical proposal, and the events that would occur.

(0) project funded
(1) project director selected
(2) develop criteria for consultants
(3) project staff selected
(4) workshop completed
(5) curriculum materials selected
(6) project evaluator selected
(7) criteria for targeted students developed
(8) targeted students selected
(9) base line data collected and so forth until the termination of the project



It is obvious that many other events could possible occur and this is only a tentative start at flow charting. The circles in the flow chart are completed events and the lines are the activities that occur prior to the completion of the event. Estimated times can be added to the chart to show the length of time from one event to the next.

The remainder of the management design should concern itself with itemized budgeting for the use of resources and facilities needed to complete the project. There is little need in this paper to discuss budgeting procedures.

PERFORMANCE OBJECTIVES

Definition of Performance

Performance is the behavioral actions of individuals, groups and/or organizations. It can be demonstrated, observed, and/or measured. In organizations, performance is defined usually as the planned, controlled, and evaluated execution of assigned duties or responsibilities and authority. It involves managed expenditures of effort toward prespecified purposes that can be appraised using criteria of relevance.

Definition of Objective

An objective is a target for action or change having temporal limitations and definable parameters. It may be general or specific but in either instance the input and performance requirements for its achievement can be specified with some degree of certainty. Its achievement advances the individual, group, and/or organization toward a corresponding goal.

A well-written objective should say three things:

(1) It should say what it is that students who have mastered the objective will be able to do

(2) It should say under what conditions the students will be able to do this

(3) It should say to what extent the students will be able to do this

A well-written objective should specify under what conditions and to what extent a certain kind of student performance can be expected to take place.

An objective should meet the following criteria:

The statement describes the learner behaviors that will demonstrate achievement of the objective

The statement specifies the important conditions under which the learner must demonstrate his competence

The statement delineates standards by which the learner's performance proficiency can be judged

The action words used in the objective preclude misinterpretation

The objective should be delineated in sufficient detail to assure that the expected outcome can be recognized

The objective contains a statement justifying and/or validating the expected or desired outcome